



Local Levee Assistance Program

LOCAL LEVEE URGENT REPAIR AND LEVEE EVALUATION PROPOSAL SOLICITATION PACKAGE

April 29, 2008

LOCAL LEVEE URGENT REPAIR AND LOCAL LEVEE EVALUATION PROPOSAL SOLICITATION PACKAGE

The California Department of Water Resources invites you to submit a proposal for funding of a Local Levee Urgent Repair project or a Local Levee Evaluation under Proposition 84, approved by the electorate on November 7, 2006.

PROPOSAL DUE DATE

3:00 p.m. Monday, June 30, 2008

Must be received, not just postmarked, by this time and date.

PROPOSAL SUBMITTAL

Submit one electronic copy and one hard copy for each proposal. The preferred submittal is on a CD-ROM, either in MS Word compatible format or in a searchable PDF format with content copying enabled. Electronic copies may also be submitted on floppy disks, on a zip disk, or by e-mail. Hard copies or hard-copy attachments must be completely legible and suitable for copying.

Submit by mail to:

**California Department of Water Resources
P. O. Box 942836, Sacramento, CA 94236-0001
Attention: Len Marino**

Or by hand delivery or overnight carrier:

**Len Marino, Project Manager, DWR
3310 El Camino Avenue, Room 180
Sacramento, California 95821**

Or by e-mail:

lmarino@water.ca.gov

QUESTIONS? NEED ASSISTANCE? CONTACT:

**Len Marino, Project Manager
Department of Water Resources
(916) 574-2639
lmarino@water.ca.gov**



California Department of Water Resources
Division of Flood Management
Flood Project Repairs and Improvements

NOTICE OF APPLICATION ASSISTANCE WORKSHOP
LOCAL LEVEE ASSISTANCE PROGRAM
LOCAL LEVEE URGENT REPAIRS (LLUR) AND LOCAL LEVEE
EVALUATION (LOLE)

WORKSHOP DATE AND LOCATION

Sacramento, California
May 14, 2008
1:00 to 3:00 PM.
Department of Water Resources
Resources Building Auditorium
1416 Ninth Street
Sacramento, California

Purpose of Workshop: To assist applicants in preparing proposals in response to the April 29, 2008 Proposal Solicitation Package for State flood control project funding under the Local Levee Assistance Program—Local Levee Urgent Repairs and Local Levee Evaluations.

Workshop Agenda:	Welcome and Introductions	5 min.
	Presentation on LLOE & LLUR	15 min.
	Questions & Answers	40 min.
	Individual Assistance	60 min.

DWR staff will be available to discuss proposals with applicants until 3:00 p.m.

For More Information Contact:

Len Marino, Project Manager
Department of Water Resources
Telephone: (916) 574-2639
Email: lmario@water.ca.gov

Local Levee Assistance Program PROPOSAL SOLICITATION PACKAGE

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Local Levee Assistance Program

PROPOSAL SOLICITATION PACKAGE

1. BACKGROUND AND OBJECTIVE

On November 7, 2006, the voters of California approved Proposition 84, which provided funds for programs to repair and evaluate local levees and flood control facilities. These measures also provided funding for the Local Levee Urgent Repair segment (LLUR) and Local Levee Evaluation (LOLE) segment of the Local Levee Assistance Program. The objective of LLUR is to assist local flood management agencies to evaluate and perform urgently needed repairs to levees and other flood control facilities that are critically eroded or unstable. The objective of LOLE is to assist local flood management agencies with geotechnical exploration of existing local levees (particularly those at risk of losing FEMA certification) and evaluation of the collected data with regard to stability, seepage, erosion and underseepage.

In March 2007, the Department of Water Resources published *Local Levee Grant Programs Guidelines* (cited here as the *Guidelines*), detailing much of the conditions and requirements of the LLUR and LOLE Programs. In April, 2008, the Department issued a revised version of the *Guidelines* and then issued the final version of the *Guidelines* April 28, 2008. The *Guidelines* are incorporated as part of this PSP. All definitions of terms and all requirements for projects or evaluations in the *Guidelines* apply equally to this PSP.

This PSP contains a synopsis of the requirements of the *Guidelines*, further detailed instructions for applying for funding, and the funding application form.

2. ELIGIBLE PROJECTS

A. LOCAL LEVEE URGENT REPAIR PROJECTS

For LLUR projects, DWR will assign a criticality rating in accordance with the criticality criteria set forth in the *Guidelines*. DWR will also categorize the project by type. The possible types are:

1. Repair of levees damaged by erosion.
2. Repair of levees damaged by internal erosion.
3. Repair of local levee slope instability.
4. Repair of unstable flood control facilities other than levees.

DWR will first fund the critical projects. Within this category, awards will be made first for qualified projects of the first type and, if funds remain, progressing to the next type, until all appropriate projects have been funded or available funds have been expended. If there are funds available for potentially critical projects, awards will be considered first for qualified projects of type 1, and, if funds remain, progressing to the next type until all appropriate projects have been funded or available funds have been expended.

A project may be located in any county of the State, but the levees or other flood control facilities involved must be local; that is, not a part of the State Plan of Flood Control for the Central Valley and not located within the Sacramento-San Joaquin Delta. (The State Plan of Flood Control for the Central Valley consists of facilities that are part of the Sacramento River Flood Control Project or the San Joaquin River Flood Control System, or facilities in the Central Valley or on streams tributary to the Central Valley that the State has constructed or for which the State has provided nonfederal assurances of operation and maintenance to the federal government.)

An engineer registered in California must certify, and an authorized representative of the applicant must concur, that the project is necessary because the flood control system has been critically damaged or portions of it are unstable, and therefore is unable to safely carry the design flood flow.

B. LOCAL LEVEE EVALUATION PROJECTS

For LOLE, the types are:

1. Geotechnical evaluations of levees that are accredited by FEMA, but are at risk of becoming unaccredited (or have recently lost accreditation) due to geotechnical inadequacies (other than meeting freeboard requirements).
2. Geotechnical evaluations of levees exhibiting seepage, underseepage, erosion or other signs of instability.

The LOLE program funds projects that evaluate local levees at risk of failing. DWR will presume that levees at risk of losing FEMA accreditation, or that have lost accreditation since August 2005, as a result of implementation of FEMA Procedure Memoranda 34 and 43, fit this profile and will be given preference. Applicants for facilities that are not necessarily at risk of loss of accreditation but have exhibited problems with seepage, underseepage, erosion or other instability are also eligible. Such problems should be documented in the application.

A project may be located in any county of the State, but the levees or other flood control facilities involved must be local; that is, not a part of the State Plan of Flood Control for the Central Valley, not located within the Sacramento-San Joaquin Delta, and not identified in Cal. Pub. Res. Code. § 5096.955 (a) (added by SB 85 in 2007).

All LOLEs will produce a written report providing the location of all test sites, all field data, laboratory test results and all seepage and levee stability engineering analyses. The LOLE project sponsor is responsible for obtaining all permits required for any evaluation procedure at all sites before commencing the procedure.

A complete LOLE application will have, at a minimum, a description of the project signed and stamped by a state-licensed civil or geotechnical engineer, a map and history of the levee area, a statement that it is a local levee, a statement that the levee is USACE-certified and a discussion of the risk that the levee will lose FEMA accreditation or a discussion of how the levee has exhibited signs of seepage, underseepage, erosion, instability, or other problems and how those issues remain unremediated.

3. ELIGIBLE APPLICANTS

An applicant for a LLUR grant or LOLE funding must be a local public agency or a joint exercise of power agency (JPA) representing more than one local public agency. The local public agency or a constituent of the JPA must be responsible for flood control in the area of the proposed project.

The LLUR applicant must:

- Document that it will be able to ensure the operation and maintenance of the completed project in perpetuity.
- Have a Labor Compliance Program acceptable to DWR.
- Be qualified to contract with the State.

A LOLE applicant must have a Labor Compliance Program acceptable to DWR and be qualified to contract with the State.

If there are potential applicants that intend to form a local public agency or a joint exercise of powers agency to apply for funds under this program, but will not be able to do so by the application deadline, the potential applicants should contact DWR.

4. AVAILABLE FUNDS

DWR is making available \$60 million for the program for fiscal year 2007-08; \$40 million for performing urgent levee repairs and \$20 million for levee evaluations. Another \$10 million for levee evaluations is to be made available in fiscal year 2008-09 and may be awarded along with the \$20 million without performing a separate solicitation. Funding is limited to \$5,000,000 per LLUR applicant which may be used for one or more proposals and limited to \$1,000,000 for each LOLE applicant. The Director of Water Resources may authorize variances in funding for projects in exceptional circumstances.

Twenty-five percent of the available funds for each program will be set aside to fund projects that benefit a Community that is a Disadvantaged Community or Severely Disadvantaged Community. (For purposes of this program, DWR defines Disadvantaged Community and a Severely Disadvantaged Community as those with a Median Household Income of less than 80% and 60%, respectively, of the statewide average.) If the amount of the set aside funds is greater than needed to fund projects that serve a Disadvantaged Community or Severely Disadvantaged Community, the excess funds will be made available to other applicants. If the amount of the set aside funds is not enough to fund all projects that will serve a Disadvantaged Community or Severely Disadvantaged Community, the projects not receiving set aside funds remain eligible for funding on the same basis as projects that do not serve a Disadvantaged Community or Severely Disadvantaged Community.

Execution of agreements and disbursements are subject to the availability of funds.

5. MATCHING FUNDS

The applicant must provide at least 50 percent of the total project cost as matching funds or services unless the Community benefited by the project is a Disadvantaged Community or a Severely Disadvantaged Community. DWR will fund up to seventy percent of the estimated cost of the project if the Community is a Disadvantaged Community and up to ninety percent of such costs if it is a Severely Disadvantaged Community. All matching funds and services must originate from non-State sources. The applicant is responsible for ascertaining and complying with all applicable legal requirements concerning such matching funds or services.

6. CREDIT FOR PRE-PROJECT COSTS FOR LLUR PROJECTS

Local public agencies may begin work before receiving funding. DWR may credit pre-project costs of such work with Local Levee Assistance Program funds under certain conditions described in detail in the *Guidelines*. Credit will be issued only after the applicant and DWR have entered into a project agreement for the remainder of the project. The sponsor may use issued credit only to reduce the local share of incurred costs of the related LLUR project. Costs incurred before November 8, 2006 will not be credited.

7. DESIGN REQUIREMENTS

Applications for projects that are completely designed must include the products of design described in the *Guidelines*. Additional design for projects that require it must produce design products as described in the *Guidelines*, and

must include all additional design work in the estimates, schedules, and work plans required for this application and for the grant or funding agreement.

8. ADVANCE PREPARATION FOR RIGHT OF WAY ACQUISITION

Applicants may also propose right of way acquisition as part of the project. Rights of way may be acquired for the benefit of either public and private land. State funds may be used to pay right of way expenses under the conditions described in the *Guidelines*.

9. GRANT AND FUNDING AGREEMENT REQUIREMENTS

The sponsor of a LLUR or LOLE project will be required to comply with the following terms:

a. Funding Contingent on Grant or Funding Agreement. All reimbursements and credits under LLUR grants or LOLE funding agreements, including construction costs, evaluation costs, pre-project costs, cost of advance preparation for right of way acquisition, cost of design activities, and supplementary costs, will be made only in accordance with a grant or funding agreement between the sponsor and DWR that has been fully executed and is in effect.

b. Standard Terms and Conditions. Grant and funding agreements will contain standard terms and conditions as specified by authorizing legislation and DWR procedures.

c. Reports. The sponsor will be required to submit periodic progress reports and a comprehensive post-implementation report including before-project and after-project photographs. DWR has the right to change reporting requirements at any time to make sure the informational needs of the Department and State are met.

d. Status of Products of the Project. All data and information obtained under the grant and funding agreements will be made available in the public domain.

e. Cost-Sharing Requirements. By executing the grant or funding agreement, the sponsor commits to cost-share as specified in the agreement.

f. Resolution. Before executing the grant or funding agreement, the sponsor shall provide a resolution of its governing board and if necessary, all member entities accepting the grant or funding and designating a representative authorized to execute the grant or funding agreement, sign requests for disbursement, and receive funds on the sponsor's behalf.

g. Finance Plan. The sponsor shall provide a finance plan satisfactory to DWR that demonstrates its ability to complete the project.

h. List of properties. The sponsor will provide a list of properties for which State funds were expended to prepare for acquisition. The list shall identify which actions, such as parcel descriptions and title searches, were performed for each parcel.

i. Additional Requirements. DWR may require additional information as described in the *Guidelines* to facilitate administration of the Local Levee Assistance Program.

10. LABOR CODE COMPLIANCE

The local sponsor shall have a Labor Compliance Program covering all reimbursed work and shall keep informed of and take all measures necessary to ensure compliance with all other Labor Code requirements. The sponsor must have a Labor Compliance Program that meets the requirements of subdivision (b) of Labor Code Section 1771.5.

11. CONFLICT OF INTEREST AND CONFIDENTIALITY

All participants, including applicants and reviewers, are subject to State conflict of interest laws. Failure to comply with these laws, including business and financial disclosure provisions, will result in the proposal being rejected and any subsequent agreement being declared void. Applicable statutes include, but are not limited to, Government Code Section 1090 and Public Contract Code Sections 10410 and 10411.

All applications will become public information upon submittal to DWR. By signing the application and submitting it to DWR, the applicant waives any rights to privacy and confidentiality of the application.

12. REVIEW, SELECTION, AWARD, AND IMPLEMENTATION PROCESS

- DWR solicits proposals for projects, issuing a Solicitation Notice and a Proposal Solicitation Package.
- DWR posts the PSP on the DWR website.
- DWR may conduct Applicant Assistance Workshops if needed.
- DWR staff is available for consultation with agencies regarding what information must be submitted to show that the benefited Community is a Disadvantaged Community or Severely Disadvantaged Community.

- Agencies submit applications using the DWR form from the PSP.
- DWR screens applications for applicant eligibility, timeliness, completeness, and correct format.
- DWR assigns a project type to each proposed project.
- DWR Consensus Team reviews and scores applications according to competitive evaluation criteria.
- DWR Consensus Team determines which projects are eligible for the set aside for projects that will benefit a Disadvantaged Community or Severely Disadvantaged Community.
- DWR Selection Panel reviews scoring, recommends projects to be funded, and submits recommended priority and funding lists to the Director.
- Director approves priority and funding.
- DWR notifies selected applicants by mail and posts approved priority and funding list on website.
- Applicant indicates acceptance and becomes the sponsor.
- The sponsor develops a work plan.
- DWR and the sponsor execute a grant or funding agreement.
- The sponsor's work becomes eligible for reimbursement.
- The sponsor proceeds with the work, periodically reporting progress and requesting reimbursement.
- DWR reimburses eligible invoiced expenditures using State funds.
- The sponsor completes the project and submits all required output including the post-implementation report.
- DWR approves the final project in writing and releases all retained funds.
- For LLUR projects, the sponsor maintains the project.

13. ANTICIPATED SCHEDULE

The anticipated schedule for LLUR and LLOE grants are:

April 29, 2008	This PSP released to the public.
May 14, 2008	Public Applicant Assistance Workshops if needed.
June 30, 2008	Proposals due by 3:00 p.m.

14. SELECTION CRITERIA

The selection criteria DWR will use are set forth in the *Guidelines* and, in particular, in Appendices A and B of the *Guidelines*. Applicants should review those criteria before preparing their applications. Applications should contain sufficient information for DWR to determine whether the proposed project meets the acceptability criteria, how the application should be characterized for purposes of determining the funding priority, and how many points the application should be awarded under the competitive criteria.

15. PREPARING THE PROPOSAL

A complete proposal must include at a minimum the following items, in the format provided in the application form provided at the end of this PSP.

a. Project Information Sheet. Complete Page 1 of the application form.

b. Authorizing Resolution. Complete Page 2 of the application form or attach a resolution authorizing an agency official to make this application.

c. Certifications and Signature.

1. For LLUR projects, complete Page 3 of the application to make formal application and to certify that the applicant:

- Will have an acceptable Labor Compliance Plan during the life of the agreement.
- Has sufficient funds to pay the local share and operate and maintain the project.
- Will operate, maintain, repair, rehabilitate, and replace the project in perpetuity or until DWR agrees in writing that this is no longer necessary and will provide a maintenance plan satisfactory to DWR.

2. For LOLE projects, complete Page 4 of the application to make formal application and to certify that that applicant:

- Will have an acceptable Labor Compliance Plan during the life of the agreement.
- Has sufficient funds to pay the local share.

d. Attorney's Certification. Complete Pages 5 and 6 of the application

- To certify that the applicant
 - Is a Local Public Agency.
 - Is qualified to contract with the State.
 - Has authority to obtain funds for the project.
 - Is responsible for flood control in the project area.
- To describe the legal steps the applicant must take to contract with the State.
- To state whether the applicant must have an election to enter into a funding agreement with the State.
- To state whether other governmental agencies must approve such an agreement.
- To state whether or not there is pending litigation involving the applicant.
- To cite statutes or other references for any of these items.

e. Qualifications of the Project.

1. For LLUR projects, complete Page 7 of the application to certify that:
 - The project consists of construction of repairs to levees or other flood control facilities.
 - The project will be constructed solely to repair levees that have sustained critical erosion damage or that have unstable slopes, or to stabilize other unstable flood control facilities.
 - An engineer registered in the State of California has found that the facilities in the project area are critically damaged and incapable of safely carrying the design flood flow.
 - The facilities are not a part of a State-federal project and are not located in the Sacramento-San Joaquin Delta.
 - The project is urgently needed to protect life and property.
2. For LOLE Projects, complete Page 8 of the application to certify that:
 - Work would consist of geotechnical evaluation of a levee.
 - The proposed project consists of an evaluation of a levee at risk of losing FEMA accreditation (or a levee that has lost accreditation) and/or consists of an evaluation of a levee that has exhibited seepage, underseepage, erosion or other signs of instability.
 - No levees to be evaluated are part of the State Plan of Flood Control for the Central Valley, as defined in the *Local Levee Assistance Program Guidelines*.
 - No levees to be evaluated are located within the legal boundary of the Sacramento-San Joaquin Delta, as defined in California Water Code Section 12220 and as shown where appropriate on accompanying maps.
 - No levees to be evaluated are urban levees that qualify for Cal. Pub. Res. Code. § 5096.955 (a) (2)(added by SB 85 in 2007).

f. Executive Summary. Provide a summary of the project in not more than two pages, including a short description of the proposed work and the extent of the improvement expected in flood carrying capacity or stability.

g. Project Environment. Describe the project area and include one-page maps of the vicinity and the project area, showing the extent of proposed work. If the legal boundary of the Sacramento-San Joaquin Delta passes through the project area map, show the boundary.

h. Description of Work. Describe fully the extent of the proposed work, the methods planned to perform the work, and the potential for discovery of critical conditions requiring additional work. Provide sufficient information so that DWR may determine the project type.

i. Benefits of the Project.

Each project application should include a narrative description of the benefits of the project as well as sufficient information to enable DWR to be able to rank the project in accordance with the criteria set forth in the *Guidelines*. This information should be supplemented as needed by available documentation.

(1) For LLUR Projects:

Analyze:

- **Flood Protection Benefits:** Discuss the project's potential for protecting lives and for protecting property against damage. Provide an evaluation of the savings in damage costs. Describe the depth and extent of the flooding that would occur if the facilities to be repaired should fail. Provide an estimate of the probability of occurrence of the flood events that the existing and repaired facilities can protect against. Describe the existence, qualitative value to the public, and decrease in potential for damage of infrastructure items in the protected area.
- **Additional Project Benefits.** Identify the developmental status of the protected area, including the population of the area. Describe the status and historic modification of the ecosystem in the project vicinity, emphasizing changes that have taken place because of flood management efforts. Describe and evaluate any project features that would contribute to its restoration.

Information to be Provided to Assess Criticality and Type of Project.

Discuss the criticality of the project and type of project proposed in order to facilitate DWR ranking of the project in accordance with the ranking criteria specified in the *Guidelines*. Information to be provided could include:

- A site history;
- An explanation of performance issues;
- An analysis of safety factors, such as erosion, seepage, and slope instability;
- An engineering analysis, if available;
- Drawings and photographs.

To the extent possible, such documentation should be consistent with the information that would be supplied to the Corps under its Engineering Regulations.

(2) For LOLE Projects:

Analyze:

- How the levee in question is at risk of losing FEMA accreditation, has lost FEMA accreditation or has a history of failure or exhibits one or more of the following conditions:
 - the presence of erosion, which is either encroaching into the structure slope or its projected slope
 - Internal erosion caused by seepage through or under the levee
 - Active levee instability
- How an evaluation of this levee will determine exactly what repairs are needed.
- Whether adjacent levees, or levees of similar construction and foundation conditions have had seepage, underseepage, erosion or instability problems.
- How the levee in question protects human life, property and/or critical infrastructure.
- Whether (and if so, how) the levee at issue protects against great depths of flooding and whether it protects against velocity-related flooding and/or guards against high quantities of floating debris.
- How the levee in question can be improved (including a discussion of previous proposals or feasibility studies for improvement for the levee).

Information to Be Provided to Assess Criticality of Project.

LOLE Applicants should submit detailed material supporting the criticality of their LOLE project proposal. Such documentation should include, to the extent it exists, the following:

- Any correspondence or documents received from FEMA indicating that the levee to be evaluated has lost accreditation or is at risk of losing accreditation (likely because FEMA is developing a 100-year flood map for the levee area).
- A signed Provisionally Accredited Levee (PAL) agreement (with FEMA) or, alternatively, documentation reflecting a FEMA request for the applicant to sign a PAL agreement.
- Information about the levee in question, including: photos of the levee; data regarding the geographic area the levee serves; information about the agricultural land, people, structures, etc. the levee protects.

k. Funding. Unless the benefited community is a Disadvantaged Community or Severely Disadvantaged Community, local public agencies are required to contribute at least 50 percent of the cost of LLUR and LOLE projects. Declare the amount of State funding requested and the percentage of

local participation. Describe the sources and amounts of any local monetary or in-kind contributions and identify any that would make the total local contribution greater than the required amount. Provide a funding schedule that is consistent with the project schedule. Also provide a financing plan.

If the Local Public Agency believes that the benefited Community is a Disadvantaged Community or Severely Disadvantaged Community, it should also provide information establishing that the community has a Median Household Income of less than 80% or 60%, respectively, of the statewide average. This information should include a map of the benefited area and Median Household Income data broken down by census block for the benefited area. The Local Public Agency should consult with the DWR in advance of filing the application regarding the information that should be submitted by the agency for DWR to assess whether the benefited Community is a Disadvantaged Community or Severely Disadvantaged Community. If a project that serves a Community that is a Disadvantaged Community or Severely Disadvantaged Community, DWR will cost share up to 70% for a Disadvantaged Community or up to 90% for a Severely Disadvantaged Community.

1. Project Phasing. State whether the project has complete plans and is ready for construction, or requires additional design. If design is not complete, describe the effort required. For projects requiring additional design, state whether the submitted CEQA document is final. If the CEQA document is not final, the project is not eligible for funding.

16. PROPOSAL ATTACHMENTS

Include the following attachments to the proposal form:

a. Project Plans. For projects that are completely designed, provide plans sufficient for construction, prepared and signed by an engineer registered pursuant to California law. For projects that are completely designed, plans shall be as described in the *Guidelines*. For projects requiring additional design, provide preliminary plans and evidence that plan preparation is under the supervision of a California registered engineer.

b. Specifications. For projects that are completely designed, provide construction specifications as described in the *Guidelines*. For projects requiring additional design, provide preliminary specifications and evidence that specification preparation is under the supervision of a California registered engineer.

c. Estimate. For projects that are completely designed, provide a cost estimate as described in the *Guidelines*. For projects requiring additional design, provide a preliminary cost estimate sufficient for evaluation of the project's benefit ratio and evidence that cost estimate preparation is under the supervision of a

California registered engineer. Include cost estimate items for design or advance preparation for right of way acquisition in agreement with the costs of the items or tasks in the task breakdown. As a part of the project estimate, provide an estimate of the costs of project management and other supplementary costs

d. Design Report. For projects that are completely designed, provide a design report as described in the *Guidelines*. For projects requiring additional design, provide a draft design report.

e. Task Breakdown. Provide a preliminary breakdown of the project into tasks, including any further permitting work, design work, or advance preparation for right of way acquisition. Describe each task and relate the construction tasks to the items and quantities in the construction estimate. CEQA documentation should be complete by the time the application is submitted.

f. Schedule. Provide a schedule for completion of the project, including any additional design, right of way acquisition preparation, and environmental permitting work. Base the schedule on the applicant's preliminary breakdown of the project into tasks. The schedule must be based on a CPM diagram and must show the calendar days to complete the project. Provide an estimate of the required construction period, a discussion of the quality of the estimate, and a statement of the expected completion date relative to the next two flood seasons (November through April).

g. Standards. Provide a list of all criteria, standards and guidelines used by the project designer. DWR will determine whether the references given are readily available to DWR staff. If DWR Division of Flood Management does not have convenient access to a given reference, the sponsor of a project will be required to supply a copy.

h. Environmental Documentation. Provide a copy of the CEQA documentation as required in the *Guidelines*. Final Environmental Impact Reports or Negative Declarations must be accompanied by a Notice of Determination. Provide documentation that the project is in compliance with the California Endangered Species Act and other applicable environmental laws.

i. Resolutions. Include a resolution of the applicant's governing body authorizing a designated representative to sign the certifications required for the application, and sign and file the application, or complete the resolution on Page 2 of the application form.

j. Finance Plan. Include a finance plan that demonstrates to DWR's satisfaction that the project sponsor will be able to complete the project or evaluation.

k. Labor Compliance Program. Submit evidence that the sponsor has an acceptable Labor Compliance Program in place or plans to put one in place.

l. Median Household Data. For projects seeking funding to benefit a disadvantaged or severely disadvantaged community, the sponsor must provide Median Household Income Data for the community.

m. Feasibility Study. For LLUR projects, attach a study demonstrating that the project is economically feasible, evaluating project benefits and describing any alternatives to the project.

n. Engineer's Certification. For LLUR projects, attach a certificate by an engineer licensed to practice under California law, finding that the facilities to be repaired are critically damaged or unstable and incapable of safely carrying the design flood flow.

o. Additional Requirements. Attach any additional information requested in the *Guidelines*.

17. HOW TO SUBMIT A PROPOSAL

Prepare the attached application form. All items are required information. If an item does not apply, provide complete justification for not providing the information. Append all required attachments and other submitted material.

For an electronic submittal (preferred):

- One copy of each electronic item must be submitted by the deadline.
- One hard copy of each electronic item must be submitted by three days after the deadline.
- The application form must be in electronic format.
- Electronic format is preferred for attachments.
- Electronic attachments should be in individual files.
- Hard-copy plans and other graphic material must be submitted full size.
- Hard-copy attachments must be completely legible and suitable for copying.
- The preferred format for electronic submittals is on a CD-ROM, in MS Word compatible format or in a searchable PDF format with content copying enabled.
- Applications may also be submitted by e-mail.

For a hard copy submittal:

- Two copies of each hard-copy item must be submitted by the deadline.
- The application form may be hard copy.
- Plans and other graphic material must be submitted full size.
- Hard copies or hard-copy attachments must be completely legible and suitable for copying.

Submit by mail to:

Len Marino, Project Manager
Department of Water Resources
3310 El Camino Avenue, P.O. Box 219000
Sacramento, California 95821

Or by hand delivery or overnight carrier:

Len Marino, Project Manager
Department of Water Resources
3310 El Camino Avenue, P.O. Box 219000
Sacramento, California 95821

Or by e-mail:

lmarino@water.ca.gov

Applications will not be accepted by FAX.

PROPOSAL FOR LLUR OR LOLE PROJECT

Project Information

Title of Project :

Short Description :
:

Applicant Agency

Legal Name:

Mailing Address:

City, State, Zip Code:

Telephone: ()

Fax: ()

E-Mail:

Authorized Representative

Name:

Title:

Telephone: ()

Fax: ()

E-Mail:

Alternate Contact

Name:

Title:

Telephone: ()

Fax: ()

E-Mail:

**Cities/Communities in
the Protected Area:**

County :

Members of Congress

Name, District No.:

Name, District No.:

State Senators

Name, District No.:

Name, District No.:

Members of the State Assembly

Name, District No.:

Name, District No.:

Resolution No. _____

Resolved by the _____ **of the**
(Name of Agency's Governing Body)

(Name of Agency)

**That pursuant to and subject to all of the terms and provisions of
California Public Resources Code Section 75032 application by this**

(Type of Agency)

**be made to the California Department of Water Resources to obtain
funding for**

_____.
(Project Title)

The _____ **of the**
(Authorized Representative)

_____ **is hereby authorized and directed**
(Type of Agency)

**to prepare the necessary data, make investigations, sign
certifications required as part of the application, and sign and file
such application with the California Department of Water Resources.**

***Passed and adopted* at the regular meeting of the**

_____ **of the**
(Name of Agency's Governing Body)

(Name of Agency)

on _____.
(Date)

Authorized Signature _____

Printed Name _____

Title _____

Clerk/Secretary _____

LLUR Applications - Certifications and Signatures

(Name of Agency)

hereby applies to the California Department of Water Resources for funding in the amount of \$_____ as authorized by Section 75032 of the California Public Resources Code for the purpose of constructing the urgently needed flood control repairs identified herein as

(Title of Project)

On behalf of the applicant agency, I certify the following:

- * During the lifetime of any grant agreement resulting from this proposal, applicant will have a Labor Compliance Program complying with the California Labor Code. *(Project sponsors will be required to provide evidence of such a Program.)***
- * Applicant has sufficient funds or other resources to finance the proposed percentage of the cost of the project and to operate, maintain, repair, rehabilitate, or replace the project as long as necessary. *(Project sponsors will be required to provide a finance plan.)***
- * If applicant is awarded funding and becomes sponsor of this project, applicant will (1) operate, maintain, repair, rehabilitate, and replace the project facilities as needed in perpetuity, or until the Department of Water Resources agrees in writing that such services are no longer needed, and (2) provide a maintenance plan satisfactory to the Department of Water Resources.**

By_____ **Date**_____
(Signature of Authorized Representative)

(Printed Name of Authorized Representative)

(Title)

LOLE Applications - Certifications and Signatures

(Name of Agency)

hereby applies to the California Department of Water Resources for funding in the amount of \$_____ as authorized by Section 75032 of the California Public Resources Code for the purpose of evaluating levees at risk of losing FEMA accreditation or levees with a history of seepage, underseepage, or instability problems. This levee evaluation project is known as:

(Title of Project)

On behalf of the applicant agency, I certify the following:

- * During the lifetime of any funding agreement resulting from this proposal, applicant will have a Labor Compliance Program complying with the California Labor Code. *(Project sponsors will be required to provide evidence of such a Program.)***
- * Applicant has sufficient funds or other resources to finance the proposed percentage of the cost of the project. *(Project sponsors will be required to provide a finance plan.)***

By_____ **Date**_____
(Signature of Authorized Representative)

(Printed Name of Authorized Representative)

(Title)

Attorney's Certification

(The applicant's attorney shall answer the following questions pertaining specifically to this proposal and shall cite statutory authority or other reference for each question where indicated.)

- * Is the applicant agency a political subdivision of the State of California? ()Yes ()No**

Citation:_____

- * Does the applicant have legal authority to enter into a grant or funding contract with the State of California? ()Yes ()No**

Citation:_____

- * What steps are required by law for the applicant to contract with the State?**

Citation:_____

- * What is the statutory authority under which the applicant may obtain funds for the purpose, amount, and duration requested?**

Citation:_____

- * What is the statutory authority under which the applicant agency was formed and is authorized to operate?**

Citation:_____

- * Is the applicant agency required to hold an election before entering into a funding contract with the State? ()Yes ()No**

Citation:_____

- * Will a funding agreement between the applicant agency and the State be subject to review and approval by other governmental agencies? ()Yes ()No**

Identify all such agencies: _____

Citation: _____

- * Describe any pending litigation that impacts the financial condition of the applicant agency or the operation of flood management facilities. If none is pending, so state.**

- * Does the applicant agency have legal authority and jurisdiction to implement a flood control program at the project site and in the protected area? ()Yes ()No**

Citation: _____

I certify that I am a duly qualified and licensed attorney in California representing the applicant agency and that I have answered the questions on this page and the preceding page to the best of my knowledge.

By _____ **Date** _____
(Signature of Applicant Agency's Attorney)

(Printed Name of Applicant Agency's Attorney) (Title)

(Name of Applicant Agency)

Qualifications of the LLUR Project

In summary of the accompanying material, I declare as follows:

- * The proposed project consists of repairs to levees or other flood control facilities, as shown on the accompanying plans.**
- * All facilities to be repaired have sustained critical levee erosion damage, have damaged and unstable levee slopes, or are otherwise damaged and unstable, and all are incapable of carrying the design flood flow, as substantiated by the accompanying engineer's certificate.**
- * No facilities to be repaired are part of the State Plan of Flood Control for the Central Valley, as defined in the *Local Levee Assistance Program Guidelines* and as shown on the accompanying plans.**
- * No facilities to be repaired are located within the legal boundary of the Sacramento-San Joaquin Delta, as defined in California Water Code Section 12220 and as shown where appropriate on accompanying maps.**
- * The project is urgently needed to protect life and property.**

By_____ **Date**_____
(Signature of Authorized Representative)

(Printed Name of Authorized Representative) (Title)

Qualifications of the LOLE Project

In summary of the accompanying material, I declare as follows:

- * The proposed project consists of an evaluation of a levee that is either (a) at risk of losing FEMA accreditation, has lost FEMA accreditation or, (b) has exhibited seepage, underseepage, erosion or other signs of instability.**
- * No levees to be evaluated are part of the State Plan of Flood Control for the Central Valley, as defined in the *Local Levee Assistance Program Guidelines* and as shown on the accompanying plans.**
- * No levees to be evaluated are located within the legal boundary of the Sacramento-San Joaquin Delta, as defined in California Water Code Section 12220, and as shown where appropriate on accompanying maps.**
- * No levees to be evaluated are urban levees identified in Cal. Pub. Res. Code. § 5096.955 (a) (2)(added by SB 85 in 2007).**

By _____ **Date** _____
(Signature of Authorized Representative)

Executive Summary

Project Environment

Description of the Work

Benefits of the Project

Funding

Project Phasing

Attachment Checklist

Provide the following items as discussed in Section 16 of the PSP.

- ☐ **Project Plans**
- ☐ **Specifications**
- ☐ **Estimate**
- ☐ **Design Report, if applicable**
- ☐ **Task Breakdown**
- ☐ **Schedule**
- ☐ **Standards**
- ☐ **CEQA and ESA Documentation**
- ☐ **Resolution Authorizing Application**
- ☐ **Documentation that Project Would Benefit a
Disadvantaged Community or Severely Disadvantaged
Community, if applicable**
- ☐ **For LLUR Project, Feasibility Study**
- ☐ **Finance Plan**
- ☐ **Labor Compliance Program Documentation**
- ☐ **Engineer's Certification**